

UTAH DEPARTMENT OF HUMAN SERVICES POLICY AND PROCEDURES		
Reference: 02-08	Effective Date: July 2, 2004 Revision Date: August 4, 2005	Page 1 of 5
SUBJECT: DEPARTMENT INCENTIVE AWARDS PROGRAM		
RATIONAL: The Department of Human Services establishes an Incentive Awards Program to recognize and award employees for their exceptional work performance that result in measurable efficiency, cost savings, and innovations that contribute directly to the Department meeting its mission and vision.		

DEFINITIONS:

For the purpose of this policy:

“Division Director” means the director of the following divisions within the Department: Aging and Adult Services, Child and Family Services, Services for People with Disabilities, Substance Abuse and Mental Health, and Juvenile Justice Services

“Office Director” means the director of the following offices within the Department: Administrative Hearings, Administrative Support, Fiscal Operations, Human Resources, Licensing, Technology, Public Guardian, Recovery Services, Services Review, the Executive Director and all other offices that fall under the direct supervision of the Executive Director or Deputy Director of the Department.

“Agency Head” means:

1. division director,
2. office director,
3. superintendent of the State Hospital,
4. superintendent of the Developmental Center,
5. region director in the Division of Child and Family Services, Division of Services for People with Disabilities, and Office of Recovery Services,
6. program director in the Division of Juvenile Justice Services

A. POLICY

Pursuant to State of Utah Human Resource Management Rules R477-6-5 and R477-7-7(1)(c) on Incentive Awards, the Department establishes an incentive award program with the following parameters:

Divisions and Offices may reward employees who demonstrate exceptional effort or accomplishment beyond what is normally expected on the job for a unique event or over a sustained period of time.

Division and Offices may not award incentive awards based solely on an employee’s annual performance appraisal rating even if it is exceptional.

The awarding of all incentives is subject to availability of budget as determined by the Division or Office Director or Department Administration.

The funds to compensate employees for incentive awards are to come from the administrative unit where the employee is employed.

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All awards must be documented, evaluated, and approved by the appropriate Agency head as specified in Section D of this policy. A copy shall also be maintained in the agency's individual employee file.

This policy does not apply to administrative leave awarded by the Governor's Office, leave approved as part of employee investigations or disciplinary actions, or leave awarded per Human Resource Management Rule R477-7-7 (1).

B. CRITERIA AND ELIGIBILITY

The purpose of this policy is to establish processes to recognize and reward the attainment of exceptional employee accomplishments that exceed those normally expected. In order to be recognized for receipt of a cash, non-cash, or an administrative leave award, performance must meet one of the following criteria:

1. Improvement in Department operation: Applied creative ideas, initiative, leadership, and investment of time beyond standard expectations, for improvement of agency function.
2. Statewide benefits and public service: Increased or improved public service/safety/health, or reduced duplication of statewide efforts (such as improved interagency data systems, communication and coordination).
3. Cost savings or revenue increases within the Department: Saved significant dollars/time or increased revenues.
4. Outstanding work effort: Positively exceeded normal job responsibilities and expectations for a unique event or over a sustained period of time.

The following Department employees are eligible:

1. Any employee of the Department may be eligible for an incentive award, except for employees with an overall unsatisfactory performance review within the last ninety (90) days, those currently on a corrective action plan, those on administrative leave pending the results of an investigation, or who received disciplinary action within the last year.
2. Schedule AJ and other employees not receiving employee benefits are not eligible to receive administrative leave.

C. TYPES OF INCENTIVES, BOTH INDIVIDUAL AND GROUP

The following incentives are available to reward employees who meet the criteria as detailed in this policy in Section B – Criteria and Eligibility.

1. Certificates of commendation or letters of appreciation may be issued by the Executive Director, Division/Office Directors, or Supervisors.

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2. Administrative leave may be granted to employees as an incentive based on the following:
 - a. Employees approved for administrative leave shall be issued a Department of Human Services Certificate of Administrative Leave detailing the number of hours approved (not to exceed a total of 24 hours per fiscal year) and the date by which the hours must be used.
 - b. Agency heads and their approved designees have the authority to issue a Certificate of Administrative Leave approving leave from 1 to 8 hours per occurrence.
 - c. Only the Executive Director has the authority to issue a Certificate of Administrative Leave approving leave exceeding 8 hours per occurrence.
 - d. The cumulative total of administrative leave granted for any employee shall not exceed 24 hours in any fiscal year.
 - e. Employees approved for administrative leave shall use the leave within one year of receipt of the Certificate of Administrative Leave. Use of leave is subject to the same approval process as annual leave. Unused administrative leave hours shall be forfeited one year from the date of receipt of the Certificate of Administrative Leave, at termination, or transfer or reassignment to a different division or office.
3. Cash awards, when approved for use by the Executive Director's Office, and available based on agency budget, shall be awarded based on the following:
 - a. Division/Office Recognition Awards: Awards ranging from \$50 to \$500 shall be approved by Agency heads to recognize employees whose performance meets one of the criteria in Section B of this policy.
 - b. Department Recognition Award: Awards ranging from \$501 to \$2000 shall be approved by the Executive Director recognizing employees whose performance meets one or more of the criteria in Section B of this policy and results in positive outcomes over a sustained period of time. Individual awards shall not exceed \$2,000 per occurrence and a maximum of \$2,000 in a fiscal year. (Any exception to this limit must be approved by the Executive Director and be in conformity with Department of Human Resource Management Rules R477-6-5.)
4. Non-cash awards when approved for use by the Executive Directors Office, and available based on agency budget, shall be awarded based on the following:
 - a. Non-cash incentive awards may not include cash equivalents such as gift certificates or tickets for admission.
 - b. The following items (not to exceed \$50 each) are an acceptable use of state funds to grant non-cash incentives:
 - i. Caps, shirts, jackets
 - ii. Mugs, key rings and similar miscellaneous items
5. A combination of the Types of Awards (i.e., certificates, administrative leave, non-cash awards, and cash) may be granted at the discretion of the Executive Director and/or Agency Heads consistent with this policy.

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D. Procedures and Guidelines for Incentive Awards

1. General Procedures for all Types of Service Recognition Awards:
 - a. Nominator(s): A Service Recognition nomination may be initiated by any Department employee(s) or individual(s) outside of the Department who has (have) direct knowledge of the achievement of the employee(s) being nominated.
 - b. Forms: With the exception of non-cash awards and administrative leave, nominations, group or individual, must be submitted on a Department of Human Services Incentive Award Nomination form (HRM-6, Exhibit A). Forms are available from the Office of Human Resources (OHR). A separate form shall be submitted on each employee, even if several are being nominated for the same accomplishment.
 - c. Time lines: Nominations shall be made as soon as possible but no later than six (6) months of the date of the occurrence of action for which the employee is being nominated.
 - d. Administrative leave awarded in lieu of cash shall be awarded through the Department of Human Services Certificate of Administrative Leave as mandated in C.2. of this policy
2. Procedures for Non-Cash Awards:
 - a. Each Division/Office shall develop and implement a process and procedure to grant approved awards consistent with this policy. Non-cash incentives should be posted to object code 6270.
 - b. The number of Non-Cash Awards issued by each Division/Office shall be tracked on a monthly basis. Information tracked shall include the names of all recipients, the reason(s) for the award consistent with Section B - Agency head or approved designee who approved the award, and type of awards given.
3. Procedure for Division/Office Recognition Cash Awards:
 - a. Nominations shall be submitted on HRM-6 to the Division/Office Director in which the nominated employee works.
 - b. Division/Office Director receives and within thirty (30) days, notes approval/disapproval with signature on HRM-6. Division/Office Director may request additional information and/or interviews as he feels are necessary. The Agency Head must sign the form; this task may not be delegated. However, each Division or Office may establish a committee to review and recommend an award for Division/Office Director consideration.
 - c. The number of awards issued by each Division/Office shall be tracked on a monthly basis. Information tracked shall include the names of all recipients and the reason(s) for the award.
4. Procedures for Department Recognition Awards:
 - a. Nominations shall be submitted on HRM-6 to the Director of the Division/Office in which the nominated employee works. Division/Office Director shall review the nomination and forward to the Executive Directors Office for final consideration. The Division/Office Director shall include a recommendation stipulating reasons why the nomination should or should not be approved by the Executive Director.
 - b. The Executive Director reviews the nomination and makes the final decision.
 - c. The Executive Director shall forward all material to the Office of Human Resources (OHR) for final processing.

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(1) OHR shall notify the Division/Office Director of the Executive Director's decision.

(2) The affected Division/Office shall complete FI-48 and submit to DAS, Division of Finance for issuance of the award. Copies of approval and award justification will be maintained in individual employee files.

5. Records:

- a. Records of all nominations reviewed by the Executive Director shall be maintained by the Office of Human Resources.

Date: 08-04-05

Lisa-Michele Church, Executive Director
Department of Human Services

**DEPARTMENT OF HUMAN SERVICES
INCENTIVE AWARD**

Nominee's Name: _____ Division or Office: _____

Date of Nomination: _____ Employee EIN: _____

Nominator: _____ Division or Office: _____

REASON FOR RECOGNITION – DEMONSTRATED EXCEPTIONAL PERFORMANCE

(check all that apply):

_____ Improvement in Department operation: Applied creative ideas, initiative, leadership, and investment of time beyond standard expectations, for improvement of agency function

_____ Statewide benefits and public service: Increased or improved public service/safety/health, or reduced duplication of statewide efforts (such as improved interagency data systems, communication and coordination).

_____ Cost savings or revenue increases within the Department: Saved significant dollars/time or increased revenues.

_____ Outstanding work effort: Positively exceeded normal job responsibilities and expectations for a unique event or over a sustained period of time.

I. Division/Office Incentive Award (Range amount is from \$50 to \$500.)

Dollar Amount: \$ _____

Authorized Signature & Date: _____
(Division or Office Director or Approved Designee Approval)

Justification for recognizing employees whose performance meets one or more of the criteria above: (Attach Documentation).

II. Department Incentive Award (Range Amount is from \$501 to \$2,000.)

Dollar Amount: \$ _____

Authorized Signature & Date: _____
(Executive Director Approval)

Justification for recognizing employee whose meets on or more of the criteria above and results in positive outcomes over a sustained period of time: (Attach Documentation).

HRM-6 Revised 08-04-05

**DEPARTMENT OF HUMAN SERVICES
CERTIFICATE OF ADMINISTRATIVE LEAVE**

PRESENTED TO: _____

EMPLOYEE EIN: _____

REASON FOR RECOGNITION – DEMONSTRATED EXCEPTIONAL PERFORMANCE

(check all that apply):

_____ Improvement in Department operation: Applied creative ideas, initiative, leadership, and investment of time beyond standard expectations, for improvement of agency function

_____ Statewide benefits and public service: Increased or improved public service/safety/health, or reduced duplication of statewide efforts (such as improved interagency data systems, communication and coordination).

_____ Cost savings or revenue increases within the Department: Saved significant dollars/time or increased revenues.

_____ Outstanding work effort: Positively exceeded normal job responsibilities and expectations for a unique event or over a sustained period of time.

NUMBER OF ADMINISTRATIVE LEAVE HOURS AWARDED: _____

AUTHORIZING SIGNATURES:

_____ AGENCY HEAD OR APPROVED DESIGNEE	_____ DATE
(required for 1 to 8 hours per occurrence – not to exceed 24 hours in any fiscal year)	

_____ EXECUTIVE DIRECTOR	_____ DATE
(required for awards in excess of 8 hours per occurrence not to exceed 24 hours per fiscal year)	

DATE ADMINISTRATIVE LEAVE HOURS AWARDED TO EMPLOYEE: _____

DATE ADMINISTRATIVE LEAVE HOURS MUST BE USED BY THE EMPLOYEE:

Hours must be used within 1 year of the date the employee receives this certificate.

Unused administrative leave hours shall be forfeited one year from the date of receipt of the Certificate of Administrative Leave, at termination, transfer, or reassignment to a different division or office.